

FORMALITIES LETTER



OC00000005179803

UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark OfficeAddress: COMMISSIONER OF PATENT AND TRADEMARKS
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/547,409	04/12/2000	Gregory M. Finn	FINN-002

Bruce G Bernstein
104 Woodside Road
Apartment B105
Haverford, PA 19041

Date Mailed: 06/15/2000



NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 690 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$312.
 ■ \$312 for 4 independent claims over 3 .
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 1132.**

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

08/17/2000 GTEFFERA 00000104 09547409

01 FC:201	345.00 OP
02 FC:202	156.00 OP
03 FC:205	65.00 OP



08-14-00

SECTOR
PATENT
ATTORNEY DOCKET NO. FINN-002

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of)	
)	
Gregory M. Finn et al.)	Group Art Unit: 2768
)	
Title: INVESTMENT SYSTEM AND METHOD)	Examiner: Not known
)	
Application No.: 09/547,409)	
)	
Filed: April 12, 2000)	

Assistant Commissioner of Patents
Washington, D.C. 20231

REPLY TO NOTICE TO FILE MISSING PARTS OF APPLICATION

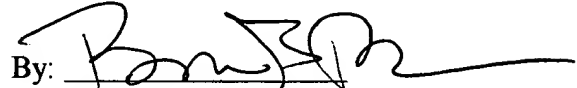
Sir:

In response to the Notice to File Missing Parts of Application mailed on June 15, 2000,
Applicants submit the following:

1. Copy of the Notice to File Missing Parts of Application;
2. Small Entity Statement (Independent Inventor);
3. Fee Transmittal Form PTO-SB-17;
4. Credit Card Payment Form PTO-2038 for payment in the amount of \$566.00 including
 - a. \$345.00 to complete the basic filing fee (small entity),
 - b. \$156.00 extra claims fee (small entity; 4 independent claims over 3), and
 - c. \$65.00 surcharge - late filing fee or oath (small entity);
5. Declaration/Power of Attorney; and
6. Request for Corrected Filing Receipt, including a corrected copy of the Filing Receipt mailed June 15, 2000.

Please associate the foregoing documents with the above-referenced application.

Respectfully submitted,

By: 

Bruce G. Bernstein
Reg. No. 34,550

104 Woodside Rd.
Apartment B105
Haverford, PA 19041
(610) 649-9929

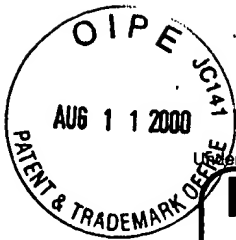
Date: Aug. 12, 2000

Certification Under 37 C.F.R. Section 1.10

I hereby certify that I am depositing this Reply to Notice to File Missing Parts of Application and the contents described therein with the United States Postal Service on Aug 12, 2000, in an envelope as "Express Mail Post Office to Addressee" Mail Label Number EK594325917US addressed to Assistant Commissioner of Patents, Washington, D.C. 20231.



Bruce G. Bernstein



FEE TRANSMITTAL for FY 2000

Patent fees are subject to annual revision.
Small Entity payments must be supported by a small entity statement,
otherwise large entity fees must be paid. See Forms PTO/SB/09-12.
See 37 C.F.R. §§ 1.27 and 1.28.

TOTAL AMOUNT OF PAYMENT (\$ 566.00)

Complete if Known

Application Number	09/547,409
Filing Date	April 12, 2000
First Named Inventor	Gregory M. Finn
Examiner Name	unknown
Group / Art Unit	2768
Attorney Docket No.	FINN-002

METHOD OF PAYMENT (check one)

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number

Deposit Account Name

☐ Charge Any Additional Fee Required
Under 37 CFR §§ 1.16 and 1.17

2. ☒ Payment Enclosed:
☐ Check ☐ Money Order ☒ Other (credit card)

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 690	201 345	Utility filing fee	345.00
106 310	206 155	Design filing fee	
107 480	207 240	Plant filing fee	
108 690	208 345	Reissue filing fee	
114 150	214 75	Provisional filing fee	

SUBTOTAL (1) (\$ 345.00)

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
20**			
7	3**	39.00	156.00

**or number previously paid, if greater; For Reissues, see below

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20
102 78	202 39	Independent claims in excess of 3
104 260	204 130	Multiple dependent claim, if not paid
109 78	209 39	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ 156.00)

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	65.00
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 380	216 190	Extension for reply within second month	
117 870	217 435	Extension for reply within third month	
118 1,360	218 680	Extension for reply within fourth month	
128 1,850	228 925	Extension for reply within fifth month	
119 300	219 150	Notice of Appeal	
120 300	220 150	Filing a brief in support of an appeal	
121 260	221 130	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,210	241 605	Petition to revive - unintentional	
142 1,210	242 605	Utility issue fee (or reissue)	
143 430	243 215	Design issue fee	
144 580	244 290	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Petitions related to provisional applications	
126 240	126 240	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	
146 690	246 345	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 690	249 345	For each additional invention to be examined (37 CFR § 1.129(b))	

Other fee (specify) _____

Other fee (specify) _____

* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 65.00)

SUBMITTED BY

Name (Print/Type) Bruce G. Bernstein

Registration No. 34,550
(Attorney/Agent)

Complete (if applicable)

Telephone (610) 649-9929

Signature

Date 8/9/2000

WARNING:

Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Handwritten signature/initials.

In re application of)

Gregory M. Finn et al.)

Title: INVESTMENT SYSTEM AND METHOD)

Application No.: 09/547,409)

Filed: April 12, 2000)

Group Art Unit: 2768

Examiner: Not known

Assistant Commissioner of Patents
Office of Initial Patent Examination
Customer Service Center
Washington, D.C. 20231

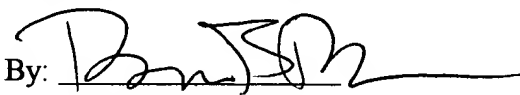
REQUEST FOR CORRECTED FILING RECEIPT

Sir:

A Filing Receipt for the above-referenced application was mailed to Applicants on June 15, 2000. Unfortunately, the Filing Receipt included several errors. These errors and the requested corrections are indicated in blue ink on the attached copy of the Filing Receipt.

Applicants hereby request that the PTO generate another Filing Receipt incorporating the requested corrections.

Respectfully submitted,

By: 
Bruce G. Bernstein
Reg. No. 34,550

104 Woodside Rd.
Apartment B105
Haverford, PA 19041
(610) 649-9929
Date: Aug 12, 2000



FILING RECEIPT



OC000000005179802

UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark OfficeAddress: ASSISTANT SECRETARY AND
COMMISSIONER OF PATENT AND TRADEMARKS
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/547,409	04/12/2000	2768	0	FINN-002	7	7	7

Bruce G Bernstein
104 Woodside Road
Apartment B105
Haverford, PA 19041

Date Mailed: 06/15/2000

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Gregory M. Finn, ~~Residence Not Provided~~ 214 Eton Road, Pittsburgh, PA 15205 USA
Bruce G. Bernstein, 104 Woodside Road, Haverford, PA 19041 USA

Continuing Data as Claimed by Applicant

THIS APPLN CLAIMS BENEFIT OF 60/129,321 04/14/1999

Foreign Applications

If Required, Foreign Filing License Granted 06/15/2000

-

Title

Investment system and method

Preliminary Class

705

Data entry by : BATIE, MARGARET

Team : OIPE

Date: 06/15/2000

